



0400
8/10-01

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Kevin W. Smith

Serial No.: 09/854,812

Examiner: Unknown

Filed: May 14, 2001

Group Art Unit: Unknown

For: POLYPECTOMY SNARE INSTRUMENT

Docket No.: 1001.1451103

TRANSMITTAL SHEET

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

CERTIFICATE UNDER 37 C.F.R. 1.8: I hereby certify that this correspondence is being deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to the: Assistant Commissioner for Patents, Washington, D.C. 20231, on this 9th day of August, 2001.

By

David M. Crompton

We are transmitting herewith the attached:

☐ Amendment

☐ No additional fee required

☐ The fee has been calculated as shown:

CLAIMS AS AMENDED							
	(3)	(4)	(5)	SMALL ENTITY		OTHER	
	REMAINING CLAIMS	HIGHEST PAID	EXTRA	RATE	ADD'L FEE	RATE	ADD'L FEE
TOTAL CLAIMS	-	=		X9=	\$	X18=	\$
INDEPEN- DENT CLAIMS	-	=		X40=	\$	X80=	\$
() FIRST MULTIPLE DEPENDENT CLAIM				+135=	\$	+270=	\$
TOTAL				\$		\$	

- [] A check in the amount of \$_____ is enclosed.
- [] Small entity status of this application under 37 C.F.R. 1.9 and 1.27 has been established by verified statement previously submitted.
- [XX] Other: INFORMATION DISCLOSURE STATEMENT, FORM PTO-1449 AND CITED REFERENCES.
- [XXXX] Please charge any deficiencies or credit any overpayment in the enclosed fees to Deposit Account No. 50-0413.

By:


David M. Crompton

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PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Kevin W. Smith

Serial No.: 09/854,812

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INFORMATION DISCLOSURE STATEMENT

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By

David M. Crompton

Dear Sir:

Pursuant to the obligations of candor and good faith imposed by 37 C.F.R. 1.56, the documents listed on the attached PTO-1449 are hereby disclosed.

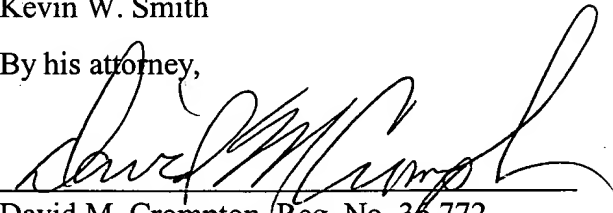
No representation is intended to be made hereby that any of the cited references establishes, by itself or in combination with other information, a prima facie case of unpatentability of any claim of the present case.

Respectfully submitted,

Kevin W. Smith

By his attorney,

Dated: 8/9/01


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FORM PTO-1449

Atty. Docket No.:
1001.1451103Serial No.:
09/854,812

Applicant: Kevin W. Smith et al.

Filing Date

May 14, 2001

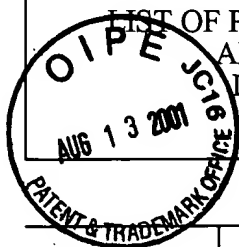
Group Art:

Unknown

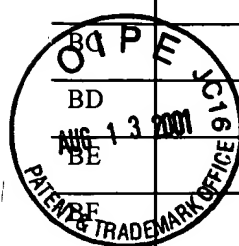
LIST OF PATENTS AND PUBLICATIONS FOR
APPLICANT'S INFORMATION
DISCLOSURE STATEMENT

U.S. PATENT DOCUMENTS

Examiner Initial	Document No.	Date	Name	Class	Sub Class	Filing Date If Appropriate
AA	Des. 301,614	06/13/99	Kozak et al.	D24	30	
AB	RE 34,110	10/27/92	Opie, deceased, et al.	128	6	
AC	1,127,948	02/09/15	Wappler			
AD	2,036,528	04/07/36	Kesling	64	2	
AE	2,950,609	08/30/60	Goodloe	64	15	
AF	3,554,192	01/12/71	Isberner	606	80	
AG	3,895,636	07/22/75	Schmidt	128	305	
AH	3,955,578	05/11/76	Chamness et al.	128	303.15	
AI	4,256,113	03/17/81	Chamness	128	303.14	
AJ	4,294,254	10/13/81	Chamness	128	303.14	
AK	4,326,530	04/27/82	Fleury, Jr.	128	303.14	
AL	4,327,711	05/04/82	Tagaki	128	4	
AM	4,345,599	08/24/82	McCarrell	128	320	
AN	4,430,083	02/07/84	Ganz et al.	604	283	
AO	4,493,320	01/15/85	Treat	128	303.15	
AP	4,590,938	05/27/86	Segura et al.	128	328	
AQ	4,593,680	06/10/86	Kubokawa	128	4	
AR	4,619,260	10/28/86	Magill et al.	128	309	
AS	4,632,110	12/30/86	Sanagi	128	303 R	
AT	4,706,656	11/17/87	Kuboto	600	153	
AU	4,763,668	08/16/88	Macek et al.	128	751	
AV	4,785,825	11/22/88	Romaniuk et al.	128	751	
AW	4,790,831	12/13/88	Skribiski	604	282	
AX	4,840,176	06/20/89	Ohno	128	303.14	
AY	4,840,623	06/20/89	Quackenbush	604	280	
AZ	4,869,238	09/26/89	Opie et al.	128	6	
BA	4,872,456	10/10/89	Hasson	128	321	



Examiner Initial	Document No.	Date	Name	Class	Sub Class	Filing Date If Appropriate
BB	4,905,691	03/06/90	Rydell	606	47	
BD	4,945,920	08/07/90	Clossick	128	751	
BD	4,950,232	08/21/90	Ruzicka et al.	604	43	
BE	4,967,732	11/06/90	Inoue	128	4	
	4,973,321	11/27/90	Michelson	604	280	
BG	5,005,755	04/09/91	Takahashi et al.	228	126	
BH	5,026,371	06/25/91	Rydell et al.	606	47	
BI	5,059,199	10/22/91	Okada et al.	606	127	
BJ	5,066,295	11/19/91	Kozak et al.	606	47	
BK	5,084,054	01/28/92	Bencini et al.	606	113	
BL	5,114,403	05/19/92	Clark et al.	604	95.04	
BM	5,125,909	06/30/92	Heimberger	604	264	
BN	5,129,913	07/14/92	Ruppert	606	184	
BO	5,147,316	09/15/92	Castillenti	604	164	
BP	5,147,373	09/15/92	Ferzli	606	144	
BQ	5,156,590	10/20/92	Vilmar	604	4	
BR	5,156,590	10/20/92	Vilmar	604	4	
BS	5,158,561	10/27/92	Rydell et al.	606	113	
BT	5,163,942	11/17/92	Rydell	606	113	
BU	5,176,677	01/05/93	Wuchinich	606	46	
BV	5,176,702	01/05/93	Bales et al.	606	208	
BW	5,179,935	01/19/93	Miyagi	128	4	
BX	5,183,470	02/02/93	Wetterman	604	281	
BY	5,201,740	04/13/93	Nakao et al.	606	113	
BZ	5,201,743	04/13/93	Haber et al.	606	147	
CA	5,244,619	09/14/93	Burnham	264	173	
CB	5,254,117	10/19/93	Rigby et al.	606	46	
CC	5,254,130	10/19/93	Poncet et al.	606	206	
CD	5,279,280	01/18/94	Bacich et al.	128	6	
CE	5,281,220	01/25/94	Blake, III	606	46	
CF	5,281,230	01/25/94	Heidmueller	606	127	
CG	5,290,294	03/01/94	Cox et al.	606	108	
CH	5,318,564	06/07/94	Eggers	606	47	
CI	5,334,169	08/02/94	Brown et al.	604	282	



Examiner Initial		Document No.	Date	Name	Class	Sub Class	Filing Date If Appropriate
CJ		5,336,227	08/09/94	Nakao et al.	606	114	
CK		5,358,493	10/25/94	Schweich, Jr.	604	264	
CL		5,376,094	12/27/94	Kline	606	113	
CM		5,403,342	04/04/95	Tovey et al.	606	205	
CN		5,404,887	04/11/95	Prather	128	772	
		5,406,939	04/18/95	Bala	128	4	
CP		5,439,478	08/08/95	Palmer	606	205	
CQ		5,465,710	11/14/95	Miyagi	600	139	
CR		5,486,182	01/23/96	Nakao et al.	606	114	
CS		5,496,292	03/05/96	Burnham	604	282	
CT		5,501,692	03/26/96	Riza	606	148	
CU		5,542,948	08/06/96	Weaver et al.	606	113	
CV		5,584,843	12/17/96	Wulfman et al.	606	159	
CW		5,588,964	12/31/96	Imran et al.	604	95	
CX		5,591,202	01/07/97	Slater et al.	606	205	
CY		5,601,533	02/11/97	Hancke et al.	604	164	
CZ		5,647,846	07/15/97	Berg et al.	604	493	
DA		5,681,296	10/28/97	Ishida	604	282	
DB		5,718,360	02/17/98	Green et al.	227	179	
DC		5,741,271	04/21/98	Nakao et al.	606	114	
DD		5,746,747	05/05/98	McKeating	606	114	
DE		5,755,724	05/26/98	Yoon	606	114	
DF		5,759,187	06/02/98	Nakao et al.	606	114	
DG		5,762,631	06/09/98	Klein	604	171	
DH		5,766,217	06/16/98	Christy	606	148	
DI		5,792,116	08/11/98	Berg et al.	604	282	
DJ		5,800,444	09/01/98	Ridinger et al.	606	113	
DK		5,814,052	09/29/98	Nakao et al.	606	115	
DL		5,817,111	10/06/98	Riza	606	148	
DM		5,820,464	10/13/98	Parlato	464	58	
DN		5,827,177	10/27/98	Omeda et al.	600	121	
DO		5,827,272	10/27/98	Breining et al.	606	41	
DP		5,846,248	12/08/98	Chu et al.	606	114	
DQ		5,860,975	01/19/99	Goble et al.	606	45	



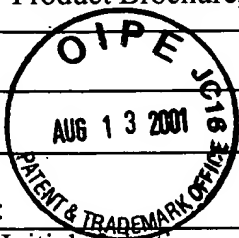
Examiner Initial	Document No.	Date	Name	Class	Sub Class	Filing Date If Appropriate
DR	5,882,347	03/16/99	Mouris-Laan	604	280	
DT	5,885,508	03/23/99	Ishida	264	313	
DT	5,906,620	05/25/99	Nakao et al.	606	113	
DT	5,906,621	05/25/99	Secrest et al.	606	114	
DW	5,957,932	09/28/99	Bates et al.	606	127	
DW	5,961,511	10/05/99	Mortier et al.	604	527	
DX	5,984,904	11/16/99	Steen et al.	604	264	
DY	5,984,920	11/16/99	Steinbach	606	47	
DZ	5,989,247	11/23/99	Chambers	606	41	
EA	5,993,474	11/30/99	Ouchi	606	206	
EB	6,001,096	12/14/99	Bissinger et al.	606	50	
EC	6,010,512	01/04/00	Chu et al.	606	113	
ED	6,015,381	01/18/00	Ouchi	600	104	
EE	6,015,415	01/18/00	Avellanet	606	113	
EF	6,024,708	02/15/00	Bales et al.	600	564	
EG	6,027,460	02/22/00	Shturman	600	585	
EH	6,050,995	04/18/00	Durgin	606	47	
EI	6,068,603	05/30/00	Suzuki	600	565	
EJ	6,071,233	06/06/00	Ishikawa et al.	600	104	
EK	6,074,408	06/13/00	Freeman	606	205	
EL	6,090,073	07/18/00	Gill	604	164	
EM	6,090,129	07/18/00	Ouchi	606	206	
EN	6,093,195	07/25/00	Ouchi	606	113	
EO	6,235,026	05/22/01	Smith	606	46	
EP	09/716,710		Smith			11/20/2000
EQ	09/716,776		Smith et al.			11/20/2000

FOREIGN PATENT DOCUMENTS

		Document No.	Date	Country	Class	Sub Class	Translation Yes No
ER	✓	DE 36 16 193 A1	11/20/86	Germany			See U.S. Patent 4,706,656
ES	✓	WO 92/22254	12/23/92	PCT			
ET	✓	WO 00/42926	07/27/00	PCT			
EU	✓	WO 00/53107	09/14/00	PCT			

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

EV		Product Brochure, "Trio 14, Re-engineering Over-the-Wire Balloon Technology," 1994, 4 pages.



EXAMINER:

DATE CONSIDERED:

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.